

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

9792486-0112

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

**10/009108**

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

PCT/JP01/02903

03 April 2001 (3.04.01)

03 April 2000 (3.04.00)

TITLE OF INVENTION WRITE ONCE OPTICAL RECORDING MEDIUM

APPLICANT(S) FOR DO/EO/US ; OYAMADA, Mitsuaki; IWAMURA, Takashi and TAMURA, Shinichiro

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). unexecuted
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Formal Drawings (Figs. 1-3 - 3 pages)

International Search Report

Cited References

U.S. APPLICATION NO. of reference: 37 CFR 1.492

INTERNATIONAL APPLICATION NO  
PCT/JP01/02903ATTORNEY'S DOCKET NUMBER  
9792486-0112

107009108

21. ☒ The following fees are submitted:

CALCULATIONS PTO USE ONLY

**BASIC NATIONAL FEE** (37 CFR 1.492 (a) (1) - (5)):Neither international preliminary examination fee (37 CFR 1.482)  
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
and International Search Report not prepared by the EPO or JPO ..... \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO  
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 890.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	6 -20 =	0	x \$18.00	\$ 0.00
Independent claims	1 -3 =	0	x \$80.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$ 0.00
				+ \$270.00

**TOTAL OF ABOVE CALCULATIONS =**

\$ 1,020.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above  
are reduced by 1/2.

+ \$ 0.00

**SUBTOTAL =**

\$ 1,020.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

**TOTAL NATIONAL FEE =**

\$ 1,020.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 0.00

**TOTAL FEES ENCLOSED =**

\$ 1,020.00

Amount to be  
refunded: \$

charged: \$

- a. ☒ A check in the amount of \$ 1,020.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

David R. Metzger  
Sonnenschein Nath & Rosenthal  
P.O. Box 061080  
Wacker Drive Station - Sears Tower  
Chicago, IL 60606-1080  
US

SIGNATURE

David R. Metzger

NAME

32,919

REGISTRATION NUMBER

10/009108  
JC10 Rec'd PCT/PTC 03 DEC 2001

EXPRESS MAIL #EL834723472US

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number: EL834723472US

Date of Deposit: December 3, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to USPTO, P.O. Box 2327 - PCT, Arlington, VA 22202.

Applicant(s): Oyamada, et al.

Attorney Docket No. 9792486-0112

Transmittal Letter to US

Request Form and Application (including specification, claims and abstract - PCT/JP01/02903 English/Japanese)

Drawings (3 pages - Figs. 1-3)

International Search Report (English/Japanese)

Information Disclosure Statement, Form 1449 and cited references

Unexecuted Declaration/Power of Attorney

Preliminary Amendment

Check in the amount of \$1020.00

Return postcard

JoEllen Hogan

 12/3/01  
\_\_\_\_\_  
Signature of Person Mailing Application and Fees

10/009108

JO10 Rec'd PCT/PTO

03 DEC 2001

VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and Post Office Address are as stated below;

That I am knowledgeable about the English language and about the language in which the below identified International Application was filed, and that I believe the English translation of the International Application No. PCT/JP01/02903 is a true and complete translation of the above identified International Application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: November 30, 2001

Full name of the translator:

Kunitoshi Konishi

Signature of the translator:

Kunitoshi Konishi

Post Office Address:

c/o ITO OFFICE LTD.

Shinjuku Bldg., 8-1,

Nishishinjuku 1-chome,

Shinjuku-ku, Tokyo, Japan